

Docket No. 09793822-0155

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: ICHIMURA, M. et al

Application No.: Not yet assigned Group No.: Not yet assigned
Filed: November 30, 2001 Examiner: Not yet assigned
For: Aminostyrylanthrane Compound, Synthetic Intermediate Thereof, and Process for Production Thereof
U.S. Patent & Trademark Office
P. O. Box 2327 - PCT
Arlington, VA 22202

EXPRESS MAIL CERTIFICATE

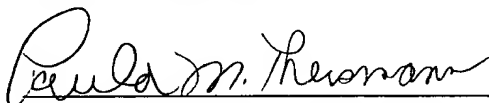
"Express Mail" label number ET767972483US
Date of Deposit: November 30, 2001

I hereby state that the following *attached* papers or fee

Transmittal Letter to US
Request Form and Application (including specification; claims and abstract (PCT/JP01/03003 (English/Japanese)
Drawings No. of pages 12- Figures 1 through 14
International Search Report (English/Japanese)
Information Disclosure Statement, Form 1449 and cited references
Unexecuted Declaration/Power of Attorney
Preliminary Amendment
Check No. 1149402 \$1632.00
Return receipt postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. section 1.10, on the date indicated above and is addressed to the U.S. Patent & Trademark Office, P.O. Box 2327 - PCT, Arlington, VA 22202.

Paula M. Theismann



Signature of person mailing paper or fee

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

9793822-0155

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

09/980323

INTERNATIONAL APPLICATION NO.

PCT/JP01/03003

INTERNATIONAL FILING DATE

06 April 2001 (6.04.01)

PRIORITY DATE CLAIMED

06 April 2000 (6.04.00)

TITLE OF INVENTION AMINOSTYRYLANTHRACENE COMPOUND, SYNTHETIC INTERMEDIATE
THEREOF, AND PROCESS FOR PRODUCTION THEREOF

APPLICANT(S) FOR DO/EO/US ICHIMURA, Mari; ISHIBASHI, Tadashi and TAMURA, Shinichiro

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (unexecuted)
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

International Search Report

Formal Drawings (Figs 1-14 - 12 pages)

Cited References

Form PCT/IB/301-304-308

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.

ATTORNEY'S DOCKET NUMBER
9793822-0155

097/980323

JP01/03003

CALCULATIONS PTO USE ONLY

21. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a) (2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$1000.00International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$860.00International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 890.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☒ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	40 -20 =	20	x \$18.00	\$ 360.00
Independent claims	6 -3 =	3	x \$80.00	\$ 252.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$ 0.00

TOTAL OF ABOVE CALCULATIONS =

\$ 1,632.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2. +

\$ 0.00

SUBTOTAL =

\$ 1,632.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ 0.00

TOTAL NATIONAL FEE =

\$ 1,632.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 0.00

TOTAL FEES ENCLOSED =

\$ 1,632.00

Amount to be
refunded: \$

charged: \$

- a. ☒ A check in the amount of \$ 1,632.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 19-3140. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

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SIGNATURE

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